

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:	§	
Lowry, et al.	§	
Serial No.: Continuation of 09/833,001	§	Group Art Unit: Unknown
Filed: Herewith	§	Examiner: Unknown
For: XML-BASED INTEGRATED SERVICES FRAMEWORK	§	

**PRELIMINARY AMENDMENT**

**Box NEW APPLICATION**

Commissioner of Patents  
Washington, DC 20231

Sir:

Prior to the initial examination of the above-identified patent application please enter the following:

Inventorship:

Please delete the following inventors from the application:

Helaman Ferguson, Craig C. Johnson, Dave Pratt, Junying Fan, Rod Meiners, Moray King, and Kent Sievers.

In the specification:

Please change the title from "XML-BASED INTEGRATED SERVICES FRAMEWORK" to -- XML-BASED INTEGRATED SERVICES PARSING --.

On page 1, prior to the first paragraph, please add the following paragraph:

-- CROSS-REFERENCE

This application is a Continuation of U. S. Serial Number 09/833,001, filed on April 11, 2001, which is a Continuation of U. S. Serial Number 09/741,678, filed December 19, 2000 --.

On page 2, line 25, please delete the first two paragraphs of the Summary and insert the following:

-- In response to these and other problems, an improved system and method is provided for parsing in a distributed directory-enabled environment using an eXtensible Markup Language ("XML") application program interface. The method accepts an XML file as an input stream, parses the input stream, and scans the input stream for an object. Upon finding an object, the method determines whether the object references a system service and dynamically loads the referenced service. The service is dynamically configured and the object is instantiated in a class factory. --

In the claims:

Please cancel claims 2-20 without prejudice or disclaimer.

Please add the following new claims:

21. (New) A method for parsing in a distributed directory-enabled application environment using an eXtensible Markup Language ("XML") application program interface, the interface including a class factory, the method comprising:

accepting an XML file as an input stream,

parsing the input stream,

scanning the input stream for an object,

determining whether the object references a system service,

dynamically loading the service if referenced,

dynamically configuring the service, and

instantiating the object in the class factory, so that the service referenced by the object in the XML stream is automatically available to the object.

22. (New) The method of claim 21 further including determining whether the service is available before dynamically loading and configuring the service.

23. (New) The method of claim 22 further including determining whether the service is already loaded before loading the service.

24. (New) The method of claim 22 further including:

determining if the service is available; and

defaulting the object to a document object model during instantiation in the class factory if the service is unavailable.

25. (New) The method of claim 24 further including:  
determining if there is a suitable document object model; and  
defaulting the object to a highest available class during instantiation in the class factory if there is no suitable document object model.

26. (New) The method of claim 21 further including scanning the input stream for a plurality of objects.

27. (New) The method of claim 21 further including accepting a plurality of XML files as the input stream.

28. (New) A computer system for parsing in a distributed directory-enabled application environment using an eXtensible Markup Language ("XML") application program interface, the interface including a class factory, the system comprising:

at least one processor;  
at least one memory accessible to the processor;  
an application stored in a portion of the memory; and  
software for parsing an XML file for the application, the software comprising instructions for:  
accepting the XML file as an input stream,  
parsing the input stream,  
scanning the input stream for an object,  
determining whether the object references a system service,  
dynamically loading the service if referenced,  
dynamically configuring the service, and  
instantiating the object in the class factory, so that the service referenced by the object in the XML stream is automatically available to the object..

29. (New) The system of claim 28, wherein the software further includes instructions for:

PAGELIMITED TO ONE PAGE

determining whether the service is available before dynamically configuring and loading the service.

30. (New) The system of claim 29, wherein the software further includes instructions for:

determining whether the service is already loaded before loading the service.

31. (New) The system of claim 29, wherein the software further includes instructions for:

determining if the service is available; and

defaulting the object to a document object model during instantiation in the class factory if the service is unavailable.

32. (New) The system of claim 31, wherein the software further includes instructions for:

determining if there is no suitable document object model; and

defaulting the object to a highest available class during instantiation in the class factory if there is no suitable document object model.

33. (New) The system of claim 28, wherein the software further includes instructions for:

scanning the input stream for a plurality of objects.

34. (New) The system of claim 28, wherein the software further includes instructions for:

accepting a plurality of XML files as the input stream.

In the Abstract:

Please delete the Abstract paragraph in its entirety and add the following:

-- An improved system and method is provided for parsing in a distributed directory-enabled environment using an eXtensible Markup Language ("XML") application program interface. The method accepts an XML file as an input stream, parses the input stream, and

scans the input stream for an object. Upon finding an object, the method determines whether the object references a system service and dynamically loads the referenced service. The service is dynamically configured and the object is instantiated in a class factory. --

REMARKS

The number of inventors has been reduced to better reflect the inventorship of the present application.

The Title, Summary and Abstract have been changed.

Claims 2 – 20 have been deleted.

New claims 21 – 34 have been added.

The filing fee has been calculated according to the above amendments.

Should the Examiner have any questions or comments regarding the amendments, the Examiner is invited to telephone the undersigned at the number listed below.

Respectfully submitted,



David L. McCombs  
Registration No. 32,271

Date: 5-24-01  
HAYNES AND BOONE, LLP  
901 Main Street, Suite 3100  
Dallas, Texas 75202-3789  
Telephone: 214/651-5533  
Facsimile: 214/651-5940  
File: 26530.57

EXPRESS MAIL NO.: <u>EL828064966US</u>
DATE OF DEPOSIT: <u>May 25, 2001</u>
This paper and fee are being deposited with the U.S. Postal Service Express Mail Post Office to Addressee service under 37 CFR §1.10 on the date indicated above and is addressed to the Commissioner for Patents, Washington, D.C. 20231
<u>Kathy Mettee</u> Name of person mailing paper and fee
<u>Kathy Mettee</u> Signature of person mailing paper and fee

RE-WRITTEN SPECIFICATION MARKED UP TO SHOW ALL CHANGES  
PURSUANT TO 37 C.F.R. 1.121(b)

In the Title:

XML-BASED INTEGRATED SERVICES [FRAMEWORK] PARSING

ALL INFORMATION CONTAINED HEREIN IS UNCLASSIFIED  
DATE 10/10/2010 BY SPACER

## XML-BASED INTEGRATED SERVICES PARSING

Inventors: Dale Lowry  
969 S. 1650 E.  
Springville, Utah 84663  
Citizenship: USA

Samuel F. Fletcher  
306 E. 2000 S.  
Orem, Utah 84058  
Citizenship: USA

Preston Stephenson  
129 West 1340 North  
American Fork, Utah 84003  
Citizenship: USA

Assignee: Novell, Inc.  
1800 South Novell Place  
Provo, Utah 84606

HAYNES AND BOONE, L.L.P.  
901 Main Street, Suite 3100  
Dallas, Texas 75202-3789  
(214) 651-5000  
Haynes and Boone Docket No. 26530.57  
Novell Docket No. IDR:452  
D900894.1

## XML-BASED INTEGRATED SERVICES PARSING

### Cross-Reference

This application is a Continuation of U. S. Serial Number 09/833,001,  
5 filed on April 11, 2001, which is a Continuation of U. S. Serial Number  
09/741,678, filed December 19, 2000.

### Background

This invention relates generally to computer software and, more  
10 specifically, to a system and method for providing distributed, directory-  
enabled applications using an eXtensible Markup Language ("XML")  
application program interface ("API") framework.

Personal computers or workstations may be linked in a computer  
network to facilitate the sharing of data, applications, files, and other  
15 resources. One common type of computer network is a client/server network,  
where some computers act as servers and others as clients. In a client/server  
network, the sharing of resources is accomplished through the use of one or  
more servers. Each server includes a processing unit that is dedicated to  
managing centralized resources and to sharing these resources with other  
20 servers and/or various personal computers and workstations, which are  
known as the "clients" of the server.

Different software applications are available through the server to the  
clients as network resources. The clients may also utilize "standalone"  
applications, which may be installed only on a client and not available  
25 through the network. The applications may perform a variety of tasks, such  
as word processing, email, web browsing, and many more. The applications  
may be written in a variety of programming languages as long as the

applications are compiled to function on the underlying operating systems used by the server and the clients.

Each application is constructed using a native API that provides a set of routines, protocols, and tools. This set provides the building blocks that allow programmers to enable the applications which use the API to communicate with the operating system and other programs. Large applications such as operating systems may have hundreds of API calls to provide other applications the interfaces needed for effective communication and access to the operating system's services. Smaller applications may have a very limited set of API calls.

Because APIs are constructed for a specific application in a given programming language and targeted at a particular platform or operating system, they generally cannot be used as an interface for another application without making nontrivial modifications. In addition, such highly specific APIs make it difficult for applications to communicate if, for example, the applications were written using different programming languages or for use on different operating systems.

It is desired to provide an XML integrated services ("XIS") framework utilizing a flexible, cross-protocol, cross-language API for distributed directory-enabled applications by providing both a high level of interactivity and modular dynamic components with a common object model for both clients and servers.

## Summary

In response to these and other problems, an improved system, method and software program is provided for distributed directory-enabled applications using an XML API. The improvement provides an event system, a parser, and a bridge-based object model.

The event system includes the ability to publish an event, subscribe to the event, and act on the event. The parser enables the XML API to parse

object is instantiated in a class factory.

### **Brief Description of the Figures**

Fig. 1 illustrates the interaction of three applications through their respective APIs.

5 Fig. 2 is a simple system illustrating a possible implementation of an XIS API framework.

Fig. 3 is a diagram illustrating one embodiment of an XIS API providing interaction between various applications.

Fig. 4 is an exemplary illustration of an XIS architectural framework.

10 Fig. 5 is a flowchart of a possible parsing sequence for one embodiment of the present invention.

Fig. 6 is a flowchart of an event sequence in an exemplary event system.

Fig. 7 is a flowchart illustrating a method by which a tag manager may resolve tag duality issues in one embodiment.

15 Fig. 8 is a flowchart illustrating an exemplary process for implementing thread safeness through a bridge.

Fig. 9 is a block diagram demonstrating a service performing a cross-protocol transformation.

Fig. 10 is one embodiment of a memory management scheme.

20 Fig. 11 is a flowchart demonstrating a basic style sheet selection sequence.

## **XML-BASED INTEGRATED SERVICES FRAMEWORK**

### **Abstract**

An improved system and method is provided for parsing in a distributed directory-enabled environment using an eXtensible Markup Language ("XML") application program interface. The method accepts an XML file as an input stream, parses the input stream, and scans the input stream for an object. Upon finding an object, the method determines whether the object references a system service and dynamically loads the referenced service. The service is dynamically configured and the object is instantiated in a class factory.